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APPLICATION NO. FILING DATE		FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO		
09/688,392	10/16/2000	Thomas C. Naratil	74622-015	2870		
21890 75	10/19/2006		EXAMINER			
PROSKAUER ROSE LLP PATENT DEPARTMENT			HAMILTON, LALITA M			
1585 BROADV			ART UNIT	PAPER NUMBER		
NEW YORK, NY 10036-8299			3691			
			DATE MAIL ED: 10/10/2004	DATE MAILED: 10/19/2006		

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary Caminer	9		App	lication No.		Applicant(s)				
Lalita M. Hamilton Sept	Office Action Summary		09/	09/688,392 NARATIL, THOM		AS C.				
- The MALING DATE of this communication appears on the cover sheet with the correspondence address - Period for Reply A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MALING DATE OF THIS COMMUNICATION. Extension of time may be availated under the provisions of 3 CPR 1.13(s), in a revent, towerer, may a reply be timely filled. If NO period for reply is pecified above, the maximum statistory period wall apply and will expert SU (8) MONTH Stom the maining date of this communication. Fallus to reply with the set or extended period for reply is patistic, cases the spiciation to become ABMIDONED (5.9 U.S. € 133). Any reply received by the Office later than these manifes where the making date of this communication, even if shrely filled, may reduce any search period than the properties. Status 1) □ Responsive to communication(s) filled on 18 July 2006. 2a) □ This action is FINAL. 2b) ☑ This action is FINAL. 2b) ☑ This action is filled. 2b) ☑ This action is filled in accordance with the practice under Ex parte Quayle, 1935 C.D. 11, 453 O.G. 213. Disposition of Claims 4) ☑ Claim(s) 1.3.5-16.18 and 19 is/are pending in the application. 4a) Of the above claim(s) is/are withdrawn from consideration. 5i ☐ Claim(s) 1.3.5-16.18 and 19 is/are rejected. 7i ☐ Claim(s) 1.3.5-16.18 la shree properties. 6i ☐ Claim(s) 1.3.5-16.18 la shree properties. 7i ☐ Charm(s) 1.3.5-16.18 la shree properties. 7i ☐ Charm(s) 1.3.5-16.18 la shree properties. 7i ☐ The specification is objected to by the Examiner. 7i ☐ The specification is objected to by the Examiner. 7i ☐ The specification is objected to by the Examiner. Note the attached Office Action or form PTO-152. 7i ☐ Th			Exa	Examiner Art Unit						
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION. Exercisions of limit may be available under the provisions of 37 CFR 1.35(e). In no event, however, may a risply be timinly filed in 11 to protect for each system. The second control of the provision of 37 CFR 1.35(e). In no event, however, may a risply be timinly filed in 11 to protect for each system. The second control of the provision of 37 CFR 1.35(e). The second control of the second co			Lali	ta M. Hamilton		3691				
WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION. Extensions of time may be available under the provisions of 37 FRT 1-18(6). In neverth, never, may a reby be timely filed after 5X (6) MONTHS from the mailing date of this communication. Failur to received by the Office later man these months after the mailing date of this communication. Provision of the provi			ication appears	on the cover	sheet with the co	orrespondence ad	ddress			
1) ⊠ Responsive to communication(s) filed on 18 July 2006. 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final. 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under Ex parte Quayle, 1935 C.D. 11, 453 O.G. 213. Disposition of Claims 4) ☒ Claim(s) 1-3.5-16.18 and 19 is/are pending in the application. 4a) Of the above claim(s) is/are withdrawn from consideration. 5) ☐ Claim(s) 1-3.5-16.18-19 is/are rejected. 7) ☐ Claim(s) is/are objected to. 8) ☐ Claim(s) are subject to restriction and/or election requirement. Application Papers 9) ☐ The specification is objected to by the Examiner. 10) ☐ The drawing(s) filed on is/are: a) ☐ accepted or b) ☐ objected to by the Examiner. Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a). Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d). 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152. Priority under 35 U.S.C. § 119 12 ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) ☐ All b) ☐ Some * c) ☐ None of: 1. ☐ Certified copies of the priority documents have been received. 2. ☐ Certified copies of the priority documents have been received in Application No 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). *See the attached detailed Office action for a list of the certified copies not received. Attachment(s) 1) ☐ Notice of References Cited (PTO-892) 3) ☐ Hormation Disclosure Statement(s) (PTO/SB108) 5) ☐ Notice of Informal Patent Application	WHICH - Extens after S - If NO p - Failure Any re	HEVER IS LONGER, FROM THE M ions of time may be available under the provisions IX (6) MONTHS from the mailing date of this comperiod for reply is specified above, the maximum storeply within the set or extended period for reply ply received by the Office later than three months a	IAILING DATE (of 37 CFR 1.136(a). Inunication. atutory period will appl will. by statute, cause	OF THIS COI in no event, however y and will expire S the application to	MMUNICATION ver, may a reply be time IX (6) MONTHS from to become ABANDONED	l. ely filed the mailing date of this of (35 U.S.C. § 133).				
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DETAILED ACTION

Request for Continued Examination (RCE)

The RCE filed on July 18, 2006 has been processed. A non-final action follows.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

Claims 1-3, 5-16, 18-19 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kaminsky (2002/0082967) in view of Macready (2002/0016759).

Kaminsky discloses the invention substantially as claimed; however, Kaminsky does not disclose a price discovery module that enables individual trades to be executed based on one of a best RFQ response and an improvement to a best RFQ response, wherein the system makes at least one dealer response available to the second user and allows the second user to improve the best RFQ response to execute the trade based thereon as a principal. Macready teaches a method and corresponding system for discovery of trades between parties comprising a price discovery module that enables individual trades to be executed based on one of a best RFQ response and an improvement to a best RFQ response, wherein the system makes at least one dealer response available to the second user and allows the second user to improve the best RFQ response to execute the trade based thereon as a principal (p.13, 278-281 and p.15, 310-311). It would have been obvious to one having ordinary skill in the art at the

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time the invention was made to incorporate a price discovery module that enables individual trades to be executed based on one of a best RFQ response and an improvement to a best RFQ response, wherein the system makes at least one dealer response available to the second user and allows the second user to improve the best RFQ response to execute the trade based thereon as a principal, as taught by Macready into the invention disclosed by Kaminsky, to provide for the optimal trade to take place.

Response to Arguments

Applicant's arguments with respect to claims 1-3, 5-16, 18-19 have been considered but are most in view of the new ground(s) of rejection.

Conclusion -

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Lalita M. Hamilton whose telephone number is (571) 272-6743. The examiner can normally be reached on Tuesday-Thursday (6:30-2:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kalinowski Alexander can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Lalita M. Hamilton

Primary Examiner, 3691